

DEPARTMENT OF THE ARMY
Corps of Engineers, Northwestern Division
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CENWD-IM
Regulation
No. 335-1-1

1 February 2004

Management Information Control
REQUIREMENT FOR MANAGEMENT INFORMATION

History. This NWD regulation is a new publication.

Summary. This regulation provides an overview of the management information control system program addressed in AR 335-15. The program is commonly referred to as a controlled reports program. This regulation is intended to provide a simple understanding of policy and procedures associated with the collection of information internally and those organizations requested to provide information to an external agency. This regulation discusses the Federal guidelines used when soliciting information from ten or more respondents outside of the Corps. Throughout the regulation the word “organization” is used to imply Headquarters Northwestern Division (HQNWD) and NWD districts. The word “element” is used to refer to a division or office within an organization. Appendix A is a consolidated list of mandated NWD recurring requirements completed by one or more designated NWD district. Appendix B identifies cancelled division recurring reports.

1. PURPOSE. This regulation identifies and assigns program management responsibility.
2. APPLICABILITY. This regulation is applicable to all elements within the HQNWD and NWD districts collecting or providing information for reporting purposes.
3. REFERENCED PUBLICATIONS.
 - a. Required Publications.
 - (1) 44 U.S.C. Chapter 35, Coordination of Federal Information Policy. Cited in paragraph 8a.
 - (2) 5 CFR Part 1320, Controlling Paperwork Burdens on the Public. Cited in paragraphs 8a and 8c.

This regulation supersedes NPDP 335-1-1, dated 1 July 1996 and NPDOM 335-1-1, dated 18 January 1989.

(3) AR 25-400-2, Army Records Information Management System (ARIMS). Cited in paragraph 5a.

(4) AR 335-15, Management Information Control System. Cited in paragraphs 4a & b, 5a, b, & c, 6a & c, and 7a.

(5) USACE Supplement 1 to AR 335-15, Management Information Control System. Cited in paragraphs 4b and 5a.

b. Related Publication. EP 25-1-1, Index of Publications, Forms, & Reports Control Symbols.

4. RESPONSIBILITIES.

a. The Northwestern Division Director of Information Management and each NWD District Chief of Information Management will have overall program responsibility under the authority of the Commander at individual assigned location in accordance with the prescribing directive AR 335-15.

b. The organization's records administrator/manager will be appointed as the management information control officer (MICO) to administer an organizational management information system control program as directed in AR 335-15 and reaffirmed in USACE Supplement 1.

5. REQUIREMENT FOR MANAGEMENT INFORMATION.

a. A requirement for management information may be defined as a need for specific information to carry out an authorized function or management purpose. The required management information may be developed, collected, and processed on a periodic, as needed, or one-time basis using electronic and manual techniques. The information collected for reporting purposes will be limited to that information clearly needed to aid in the decision-making, the management of a defined project or program, and to offer a benefit to productivity, cost reduction, waste prevention, etc. as noted in the USACE Supplement 1 to AR 335-15.

b. A requirement for management information mandated at a prescribed time or upon occurrence of an event or situation (e.g., occurrence of an accident) by one organization to another organization may be a controlled requirement needing to be identified with a requirement control symbol (RCS). The MICO will work with the originator of the requirement to determine if it should be identified with a RCS which will consist of the organization's designation code and number sequence as noted in AR 335-15, Appendix C.

c. A controlled requirement not exempted by AR 335-15, Chapter 5, will need to be supported with organizational written guidance clearly explaining the purpose of the requirement to ensure the burden associated with the collection and reporting of information is mission essential and remains minimized and controlled throughout the existence of the requirement.

d. The written guidance will need to identify the organization and/or element tasked to submit the information to include procedures on how to complete the submission. The guidance should address information such as format, definitions, information sources, coordination and approvals, and record retention of collected information in accordance with AR 25-400-2.

6. INTERNAL REQUIREMENTS.

a. Approval of Requirement. The organizational element responsible for an internal requirement will submit an Application for Approval of Management Information Requirement, DA Form 335-R, to the organization's MICO. The DA Form 335-R will be completed to support the evaluation of a new or revised requirement before implementation as outlined in AR 335-15, Chapter 2. The MICO will assign an RCS after the proposed requirement has been reviewed and approved.

b. Approved Requirement. An organizational regulation prescribing the management information requirement will be developed to explain the requirement's purpose, applicability, explanation of terms, frequency of submission, classification, effective date, source of data and format submission, preparation instructions and any related management information requirements. The title and RCS will be cited in the regulation and subsequent actions that relate or affect the management information requirement.

c. Review. The organization's MICO will initiate a review of each controlled organizationally produced requirement for management information at least every three years to verify a continuing need for the requirement.

d. Discontinuing Controlled Requirements. The initiating proponent will promptly advise all concerned when an internal requirement for management information becomes obsolete. Formal notification will be made by publication of a circular if the discontinuance involves rescission of the implementing or reporting regulation denoting the requirement.

7. EXTERNAL REQUIREMENTS.

a. Requirements for management information requested by higher authority must cite an RCS or reference to AR 335-15, Chapter 5 specifically exempting the request. When a request for management information is received that does not contain an RCS or exemption, the receiving element will notify the MICO.

b. The RCS should be clearly identified on correspondence distributed to organizational elements directing the collection of information for higher-level reporting requirement.

8. PUBLIC REPORTING REQUIREMENTS.

a. The Paperwork Reduction Act (44 U.S.C. Chapter 35 – Coordination of Federal Information Policy), and the guidelines of Title 5, Code of Federal Regulations, Section 1320 have been established for Federal agencies to use when developing a format to collect information from the public (ten or more persons, contractors, or non-Federal agencies).

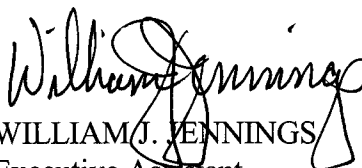
b. Systematic data collections, personal or telephonic interviews, self-administered questionnaires, etc., consisting of identical questions must be reviewed and approved prior to distribution (postal mail, electronically by web site, or personal interview). The proposed collection of information will be coordinated with the organization's MICO and then sent to higher headquarters for review prior to approval by OMB.

c. The organizational element's package must contain a completed OMB Form 83-1, Paperwork Reduction Act Submission with a senior official or designee's signature stating the package is in compliance with 5 CFR Part 1320 --Controlling Paperwork Burdens on the Public; and Section 1320.9 --Agency Certifications for Proposed Collections of Information at time of submission for review and approval.

d. A supporting statement for the Paperwork Reduction Act Submission will also be included as outlined on the OMB Form 83-1 instruction sheet. This supporting statement will provide the additional information needed to justify the organizational element's submittal for approval and to provide additional information necessary for the publishing of a 60-day notice in the Federal Register to seek public comments prior to approval by OMB and use by the originating organization.

FOR THE COMMANDER:

2 Appendices
App A - Register of NWD Recurring
Requirements
App B – Cancelled Division Reports Requirements
As Of January 1991


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DISTRIBUTION:
NWD Director/Chiefs of IM
NWD Records Managers (for local distribution)

Appendix A

REGISTER OF NWD RECURRING REQUIREMENTS

| RCS | REPORT TITLE AND FORM NUMBER | FREQ | DIRECTIVE | PREPARED BY | SUBMITTED TO |
|------------|---|------|----------------------------|--------------|--------------|
| NWDCM-79 | Annual Fish Passage Report, North Pacific Division | A | NWDR 1110-2-1 20 May 01 | NWD District | NWD-CM-F |
| NPDOP-87 | Status of Plant Reports NPD Fm 50 | Q | NPDR 1125-2-1 26 Mar 76 | NWD District | NWD-CM-OC |
| NWDCM-125 | Navigation Lock & Fish Facility Out of Service Summary | A | NWDR 1130-2-2 1 Nov 01 | NWD District | NWD-CM-OC |
| NWDCM-126a | Hydropower Test and Evaluation Schedule | A | NWDR 1130-2-7 30 Apr 01 | NWD District | NWD-CM-OC |
| NWDCM-126b | Hydropower Test and Evaluation Scheduled | Q | NWDR 1130-2-7 30 Apr 01 | NWD District | NWD-CM-OC |
| NWDCM-126c | Hydropower Test and Evaluation Year End Report | A | NWDR 1130-2-7 30 Apr 01 | NWD District | NWD-CM-OC |

NOTE: Reporting requirements may be submitted in paper or electronic format based on NWD program manager's guidance. The frequency (FREQ) column identifies how often the report will be prepared each year. The frequency codes are:

A - Annually
Q - Quarterly

Appendix B

CANCELLED DIVISION REPORTS REQUIREMENTS
AS OF 1 JANUARY 1991

| RCS | REPORT TITLE AND FORM NUMBER | REFERENCE |
|----------|--|----------------------------|
| NPDOP-7 | Maintenance Control, Annual Report (NPD Form 113-1, NPD Form 113-2, NPD Form 113-3) | NPDR 1130-2-2, 16 Apr 76 |
| NPDR-23 | Monthly Status of Relocation Contracts | NPDR Letter, 18 Jan 80 |
| NPDP-25 | Fish Passage Development and Evaluation Program Status Report Status Report (NPD Form 33-R) | NPDR 37-2-4, 1 Sep 82 |
| NPDOP-26 | Summary Report of Hydrographic Survey Operations | NPDOP-NP Letter, 29 Aug 80 |
| NPDOP-27 | NPD Form 16C - Regional Permits Status | NPDOP Letter, 14 Jan 81 |
| NPDR-28 | Biannual Status of Encroachments Civil Works Projects (NPD Form 47R) | NPDR 405-1-4, 30 Apr 81 |
| NPDSU-29 | Small and Disadvantaged Business Status Report | NPDSU Letter, 15 May 81 |
| NPDP-30 | Status Report – Surveys | NPDP Letter, 21 May 82 |
| NPDEN-31 | Design Progress Report CP&E Projects | NPDEN-TE Letter, 21 May 82 |
| NPDRM-36 | Commercial Activities Study Milestone Scheduled | NPDRM-M Letter, 11 Dec 84 |
| NPDEN-45 | Monthly Schedule of Construction Planning, Civil Work Projects | NPDR 1110-234-1, 26 Jun 81 |
| NPDR-86 | Real Estate Progress by Work Units (NPD Form 8-R, NPD Form 43, NPD Form 51, NPD Form 59-R, and NPD Form 175) | NPDR 405-1-2, 9 Nov 79 |
| NPDR-86a | Register of Pending Disposals | NPDR 405-1-2, 9 Nov 79 |
| NPDR-86b | Register of Pending Leases | NPDR 405-1-2, 9 Nov 79 |
| NPDR-86c | Register of Pending Outgrants | NPDR 405-1-2, 9 Nov 79 |
| NPDR-86d | Status of Appraisals | NPDR 405-1-2, 9 Nov 79 |